



**UNITED STATES PATENT AND TRADEMARK OFFICE**

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 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/971,114	10/05/2001	Sean P. Willems	P 274056

00909  
 PILLSBURY WINTHROP LLP  
 1600 TYSONS BOULEVARD  
 MCLEAN, VA 22102



**CONFIRMATION NO. 1004**

**FORMALITIES LETTER**



\*OC000000006999971\*

Date Mailed: 10/31/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$6084.
  - \$5580 for 310 total claims over 20.
  - \$504 for 6 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 6954.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

8888  
 740.00  
 504.00  
 5580.00  
 130.00  
 01 FC:101  
 02 FC:102  
 03 FC:103  
 04 FC:105  
 12/31/2001 SSANDARA 00000007 09971114

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

Inventor(s): WILLEMS et al.

Appln. No.: 09

Series Code ↑

971,114

Serial No. ↑

Atty.Dkt.

P

274056

M#

Client Ref

Filed: October 5, 2001

Title: SYSTEM AND METHOD FOR DETERMINING THE OPTIMUM CONFIGURATION STRATEGY FOR SYSTEMS WITH MULTIPLE DECISION OPTIONS

Attn: Application Division

Hon. Commissioner of Patents  
Washington, DC 20231

Date: December 28, 2001

Sir:  
The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts**  copy attached  not yet received  
 2.  Signed Declaration attached.  Original  Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and  
 "X" box 2A only if top box of the Declaration is X'd and file application copy, or  
 "X" box 2B only if none of the top three boxes of the Declaration is X'd.)

2A.  Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.

2B.  The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.

3.  Specification originally filed in non-English language; hence verified translation attached of:  
 a.  Abstract  
 b. #  pages of Specification(only spec. & claims)  
 c.  Drawing(s)  No of Sheets  
 Fig(s). \_\_\_\_\_

4.  Letter filing formal drawing attached.

5.  Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/238,124	6 October 2000	(2)	
(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in \_\_\_\_\_

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

9. \_\_\_\_\_ (No.) Certified copy (copies):  attached;  previously filed (date) \_\_\_\_\_  
in U.S. Application No. / filed on \_\_\_\_\_

10. Small Entity Status   is Not claimed  is claimed (file PAT-256 if this is the first claim of  
Small Entity Status)

11.  Attached: Information Disclosure Statement, Form PTO-1449 and listed documents

12.  Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity	Fee Code
13. Basic Filing Fee .....		Design Application Not Design Application	\$330/\$165 \$740/\$370	+740	106/26 101/201
14. Total Effective Claims	330	minus 20 =	310	x \$18/\$9	+5580
15. Independent Claims	9	minus 3 =	6	x \$84/\$42	+504
16. If <u>any</u> proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)			\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late			\$130/\$65	+130	105/205
18.			<b>FILING FEE ENCLOSED =</b>	<b>\$6954</b>	
19. <u>Original due date:</u>	December 31, 2001				
20. Petition is hereby made to extend the <u>original</u> due date to cover the date this response is filed for which the requisite fee is attached	(1 mo) (2mos) (3mos) (4mos)	\$110/\$55 = \$400/\$200 = \$920/\$460 = \$1,440/\$720 =	+0	115/215 116/216 117/217 118/218	
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....		\$130	+0	139	
22. If "assignment" box 5 is X'd, add recording fee .....		\$40	+40	581	
23. Petition Fee for		\$130	+0		
24.		<b>TOTAL FEE ENCLOSED =</b>	<b>\$6994</b>		

Our Deposit Account No. 03-3975

Our Order No. 82106

274056

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

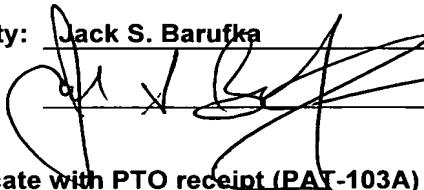
**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

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Atty/Sec: JSB/rsp

By Atty: Jack S. Barufka

Reg. No. 37087

Sig: 

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Tel: (703) 905-2012

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**